

# **INTER-AGENCY PEPFAR ANNUAL PROGRAM STATEMENT US GOVERNMENT MISSION TO SOUTH AFRICA**

## **I. PURPOSE**

The purpose of this Annual Program Statement (APS) is to solicit applications for funding from prospective new partners to support implementation of the United States Government's President's Emergency Plan for AIDS Relief (PEPFAR) in South Africa. The United States Government is seeking concept papers from prospective partners that will provide good quality, comprehensive and compassionate care for AIDS Orphans and Other Vulnerable Children (OVC). The goals of the PEPFAR initiative are to:

- Prevent 7 million new HIV infections;
- Treat at least 2 million HIV-infected people; and
- Care for 10 million HIV-affected individuals and AIDS orphans and vulnerable children

The President's Emergency Plan for AIDS Relief (The Emergency Plan) is a \$15 billion, 5-year unified government initiative, directed by the Office of the Global AIDS Coordinator (OGAC), and implemented in collaboration with the U.S. Department of State, the U.S. Agency for International Development (USAID), the Department of Health and Human Services (HHS) and other US Government Agencies.

Fifteen focus countries have been selected to be part of the initiative based on high HIV burden, available country resources, and host government and civil society commitment to fighting the HIV epidemic. Detailed information about the Emergency Plan and supplemental information concerning this APS is available at:

<http://southafrica.usembassy.gov/wwwhaids.html>. Interested applicants are encouraged to consult this website regularly.

Pending the availability of funding, the United States Government (USG) Mission in South Africa anticipates awarding a limited number of grants or cooperative agreements (hereafter called agreements) to fund applications submitted in response to this APS. Concept papers may be submitted at any time up to **5 p.m. August 19, 2005**. It is anticipated that agreements will be funded for amounts between \$500,000 and \$2 million and that each agreement will be awarded for an initial period not to exceed 2 years. Registered South African organizations, US and non US non-governmental organizations, non-profit and for-profit willing to forego profit, are eligible to submit applications.

This APS is issued as a public notice to ensure that all interested parties have a fair opportunity to submit applications for funding. Issuance of this APS does not constitute an award commitment on the part of the USG nor does it commit the USG to pay for costs incurred in the preparation and submission of an application. Further, the USG reserves the right to reject any or all applications submitted.

## **II. OBJECTIVES and APPROACHES**

PEPFAR targets the following specific areas related to HIV/AIDS:

- 1) Prevention of HIV transmission

- 2) Treatment of AIDS and associated conditions
- 3) Palliative Care for HIV infected individuals
- 4) Care for AIDS Orphans and Other Vulnerable Children

**This APS is targeted solely at programs that will provide good quality, comprehensive and compassionate care for AIDS Orphans and Other Vulnerable Children (OVC). Applications in other program areas will not be accepted in connection with this APS.**

The Emergency Plan recognizes the urgency of addressing the needs of children orphaned by AIDS and other vulnerable children. Regardless of projected reductions in HIV transmission, the number of orphans will continue to rise over the next decade. Without access to food, shelter, and essential services such as education and health care, this population of children is acutely vulnerable to a host of dangers, including HIV/AIDS. OVC vulnerability is defined by the added strain of caring for ill parent(s), diminishing household security, susceptibility to violence, abuse, and exploitation as well as discrimination and marginalization from activities such as education and recreation. The applicant will illustrate how their proposed program will provide care and support to meet both the psychosocial and material needs of OVC, while ensuring the OVC participate in defining their needs.

The applicant will also show how their OVC program will strengthen local structures as they are of primary importance in laying the foundation for future efforts that will support the growing number of children affected by HIV/AIDS. Support should be centered on family and community mechanisms as opposed to institutional care. The recipient will also support Non Governmental Organizations and Faith Based Organization to develop linkages or referrals to financial assistance, healthcare, legal aid and housing.

Activities should emphasize strengthening communities to meet the needs of orphans and other vulnerable children affected by HIV/AIDS, supporting community-based responses, helping children and adolescents to meet their own needs, and creating a supportive social and policy environment.

#### **A. Program Objectives**

In support of the South Africa Government's *HIV/AIDS and STD Strategic Plan for South Africa, 2000-2005*, <http://www.doh.gov.za/aids/index.html> (and click on National AIDS Unit in left column) and the *Comprehensive Plan for HIV and AIDS Care, Management and Treatment*, the objectives of the US Government's HIV/AIDS program in South Africa are:

- 1) To prevent HIV transmission through one or more of the following activities: a) promote safe and healthy sexual behavior in HIV infected and uninfected individuals; b) reduce mother to child HIV transmission; c) address unsafe medical practices and blood safety; d) provide appropriate post-exposure services; and e) improve access to voluntary counseling and HIV testing;
- 2) To provide quality comprehensive evidence-based HIV disease management services for South Africans through private and/or public sector providers (these services may include, for example, the provision of ARV drugs, treatment counseling, laboratory support and other related services);

- 3) To improve the quality of life of HIV infected individuals and their families, through the prevention and relief of suffering, pain and other physical, psycho-social and spiritual problems associated with life-threatening illness; and
- 4) To provide quality comprehensive and compassionate care for AIDS orphans and other vulnerable children to help assure they grow up to be healthy, educated and socially well-adjusted adults.
- 5) To strengthen and improve the quality of OVC programs through the implementation, evaluation and replication of best practices in the area of OVC programming.

## **B. Strategic Approach**

Because the overall goal of this APS is to support the provision of sustainable high-quality services for OVC in South Africa, proposed strategic approaches should address specific needs with practical, pragmatic business plans for implementation. Although research is not a principal objective of this APS, it is recognized that strong applications may include some short term targeted evaluation components within a service delivery program to empirically measure success and identify effective strategies or programs for future expansion.

### **Public-Private Alliances**

The formation of public-private alliances to address the objectives of this APS is specifically encouraged. A “public-private alliance” occurs when the application includes a commitment of material and significant non-USG resources that will allow the program to more fully address the challenges in South Africa as outlined in this solicitation. Such alliances are expected to bring together partners who will jointly define the problem, strategy and solution to capitalize on combined knowledge, skills, expertise and resources of the partners. Additional information on alliances can be found at:

[http://www.usaid.gov/our\\_work/global\\_partnerships/gda/](http://www.usaid.gov/our_work/global_partnerships/gda/).

### **Formation of Consortia**

Applications may be submitted by consortia of service providers to achieve administrative resource efficiencies and beneficial associations. Other organizations might apply for funds that would then be managed and disbursed to smaller “grass-roots” organizations to provide community based services. An example of this would be a group of faith-based organizations that might submit a single application with centralized resource management to provide HIV/AIDS services through many providers.

### **Comprehensive Programming**

Applications that demonstrate linkages with multiple program objectives are strongly encouraged. For example, a responsive application might build on a program that provides home-based care and support to people living with HIV/AIDS, adding a component which addresses the needs of children of those who are ill as a result of HIV/AIDS. Programs for OVC should also provide appropriate support or referral for OVC that are HIV positive. It is important to note that proposals that build on existing programs should not expect or request funding for program components other than those that are specifically intended for OVC activities.

These are only examples of responsive strategic approaches; and applicants are encouraged to propose other innovative solutions to provide comprehensive programs to children

affected by HIV/AIDS. The provision of mentoring among organizations (South African and non-South African) with skills to share is strongly encouraged to enhance South African capabilities and program sustainability.

### **C. Orphans and Vulnerable Children - Example Subject Areas**

The emphasis of program activities is on strengthening communities to meet the needs of orphans and vulnerable children affected by HIV and AIDS, supporting community based responses, helping children and adolescents to meet their own needs, and creating a supportive environment where children can grow and develop into productive members of society. Program activities should be aimed at improving the lives of children and families affected by AIDS-related morbidity and mortality.

Specific areas for funding might include those listed below:

- Interventions that focus on community/home based care networks to provide care for OVC.
- Programs that work with governments to protect the most vulnerable children and provide essential social services.
- Integrated initiatives that respond to the housing, security, social and educational needs of OVC, especially in community settings.
- Programs to assure OVC providers meet the highest ethical standards to fully protect OVCs from deprivation and exploitation.
- Programs that support women and young girls who bear the burden of caring for people living with HIV/AIDS and for vulnerable children and orphans.
- Programs that support children at special risk (e.g children in child headed households, children living with elderly and frail grandparents etc).
- Programs that ensure that OVC programs are integrally linked to home based care programs, prevention, peer education, stigma reduction campaigns, school based programs etc.
- Programs that ensure that OVC remain healthy and have access to primary health care.
- Programs that work with schools in providing support to OVC ( life skills, peer education, after school programs and ensure access to education etc.)
- Programs that strengthen the protection and care of orphans and other vulnerable children within their extended families and communities.
- Interventions that enhance the capacity of families and communities to respond to the psychological and social needs of orphans and vulnerable children and their care givers.
- Programs that link HIV and AIDS prevention activities, care and support for people living with HIV and AIDS and efforts to support orphans and other vulnerable children.

*These examples are not exclusive nor are they necessarily targeted for funding.*

These are only examples of responsive strategic approaches and applicants are encouraged to propose other innovative solutions to problems of OVC care.

### **D. Program Indicators**

All applications must include specific, detailed plans to monitor and document program performance. The USG in South Africa will evaluate progress by monitoring selected indicators (current OVC indicators are listed below) and assessing these in relation to targeted program objectives, as listed in this APS.

**Emergency Plan indicators that must be measured for programs supporting Orphans and Vulnerable Children:**

- Number of Providers/Caretakers trained in caring for OVC
- Number of OVC served (by gender)

A limited set of program monitoring indicators will be used to track the progress of key USG-funded activities, and are based on administrative records, project reports, and routine logistical and facility-based information systems. Applications for funding under this APS should state clearly how proposed activities relate to these program objectives and how data will be tracked, collected, verified and reported to document progress toward these objectives. Data quality is a critical component of this program, and all applicants must develop systems to ensure data quality and must be prepared for data quality audits. Applicants should be prepared for revisions in required program indicators and reporting requirements during the lifetime of the award and as part of project closeout processes.

**Applicants are required to include plans to collect data on additional indicators to measure the effectiveness of their specific program. Illustrative indicators that applicants may include in their proposals are listed below, and OVC indicators are further discussed in the document, *Expanded Response Guide to Core Indicators for Monitoring and Reporting on HIV/AIDS Programs*, ([www.usaid.gov/policy/ads/200/200sbk.doc](http://www.usaid.gov/policy/ads/200/200sbk.doc)) (Page 32-47)**

- Number of OVC who are receiving/benefiting from improved access to education;
- Number of OVC who are receiving/benefiting from improved health care;
- Number of OVC who are receiving/benefiting from psychosocial support;
- Number of OVC who are receiving/benefiting from protection activities;
- Number of OVC who are receiving/benefiting from sustainable nutritional/agricultural assistance;
- Number of OVC who are receiving/benefiting from food aid;
- Number of OVC who are receiving/benefiting from assistance to become more economically self-supporting;
- Number of OVC who are receiving/benefiting from assistance to improve their housing/shelter situation;
- Number of OVC in *households* that are receiving/benefiting from assistance to become more economically self-supporting

Reporting on additional indicators may be required from time to time. Recipients will be required to submit quarterly reports on indicators to a central data warehouse.

### **III. PARTNERSHIPS**

Applicants are strongly encouraged to form, describe and document partnerships with the South African Government (at all levels), NGOs, civil society, Peace Corps/South Africa, and other relevant groups. The USG encourages organizations considering submitting

applications to this APS to explore the potential of forming partnerships with South African organizations. Applicants are also encouraged to make use of volunteers (with or without pay) to the greatest extent feasible, possibly by placing and supervising volunteers in beneficiary organizations and communities to ensure the development and use of appropriate management, financial, monitoring & evaluation systems; and/or by using volunteers to support planning and strategy development at either the organizational or grassroots level. Applications that involve Peace Corps ([www.peacecorps.gov](http://www.peacecorps.gov)) or Volunteers for Prosperity ([www.vfp.gov](http://www.vfp.gov)) in South Africa are encouraged.

#### **IV. SUBSTANTIAL INVOLVEMENT**

Should a cooperative agreement be awarded instead of a grant the USG may be substantially involved in the award in the following ways:

- 1) Approval of the recipient's implementation plan.
- 2) Approval of specified key personnel.
- 3) Approval of grant criteria proposed by recipient.
- 4) Approval of the recipient's performance monitoring and management plan
- 5) Provide technical direction for specific program interventions

Pre-award assessments (covering the recipient's financial and management capacity) will be required for grants and for cooperative agreements.

#### **V. ELIGIBILITY**

Eligible applicants include non-governmental organizations that have demonstrated technical skills, experience and the necessary management competence to plan and efficiently execute OVC and HIV and AIDS assistance programs using mutually agreed, international standards of accountability. Eligible organizations could include, for example, foundations, faith-based organizations, private organizations affiliated with public academic institutions, South African and international non-governmental organizations, private companies, professional associations, and consortiums of the above, among others.

#### **VI. TWO TIERED REVIEW PROCESS**

Applicants will participate in a two tiered review process as detailed below. A favorable evaluation of the concept paper, as described in Tier I of the review process (below), is not an indication that funding eventually will be awarded. Only full applications that have been invited following a Tier I review will be considered for further review and funding. For all submissions in Tier I and II, one original and two copies are required. All submissions must include the proposed project title and must be received before the stipulated closing date and time at the following location:

PEPFAR South Africa Secretariat (Hand delivered to the Office of International Health)  
c/o U.S. Embassy  
877 Pretorius Street, Arcadia  
P.O. Box 9536  
Pretoria 0001  
South Africa

Applicants are encouraged periodically to check this website <http://southafrica.usembassy.gov/wwwhids.html> for updated information related to the application. Applicants may submit queries by email to [southafricapepfar@state.gov](mailto:southafricapepfar@state.gov). Any response to queries and questions will be made via the website.

### **Tier I: Concept Paper and Summary Budget**

All interested applicants must submit a concept paper in English of **not more than 8 pages** and use **Times New Roman 11 font size**. This will serve as an initial application. This concept paper must include an executive summary that describes how the proposed project will directly address the APS-defined objectives, what partnerships if any will be involved in the project, proposed strategies and activities for implementation, and a summary budget which specifies the maximum amount of funding required over the two year time period. Tier I applications should not include specific and detailed budgets.

Based on review of the Tier I concept paper including the summary budget, those submitting applications deemed to be sufficiently responsive to this APS and meeting specific gaps within the current program will be invited to prepare and submit full applications using the format described below. Applicants will be informed about whether they are invited to submit full proposals. Additional information regarding individual applications, the technical review, and the reasons why applicants are or are not invited to submit full applications will **not** be provided to applicants who submit concept papers.

Administrative costs or indirect costs are not permitted for local NGOs for direct awards or sub-awards. United States organizations may include indirect costs in accordance with the Negotiated Indirect Cost Rate Agreement in its budget.

Organizations may submit more than one concept paper.

For purposes of preparing concept papers and full proposals, a Rand/Dollar exchange rate of \$1 = R6 should be used.

Applicant meetings with U.S. Government officials will not occur during the application process.

### **Tier II: Final Application and Detailed Budget**

**Guidelines for the preparation of full proposals to be submitted for PEPFAR funding will be provided as an attachment to the letter of invitation to submit full applications. The cost proposal should be a separate document.**

## **STRUCTURE AND CONTENT OF APPLICATIONS <sup>1</sup>**

Applications that are most responsive to this APS will include one or more of the following elements:

- A commitment to reach significant numbers of individuals with services within the first 12 months of the program.
- Significant South African leadership and involvement.

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<sup>1</sup>Applicants are encouraged to visit the following website for preparing applications for results-oriented grants: <http://www.usaid.gov/pubs/sourcebook/usgov/>



- Actions to enhance South African personnel and institutions to increase South Africa's ability to address the challenges of OVC on a long-term basis.
- Strategies to reach most –at-risk groups of South African society, especially those most affected by HIV and AIDS and underserved communities.
- Clear linkages to the overarching strategies and policies of the Government of South Africa for HIV and AIDS and OVC response. Statements of support from governmental entities are strongly encouraged.
- A discussion of the gender impact of the proposed activities.
- Partnerships that link organizations or programs with complementary skills, capabilities and resources to enhance outcomes and conserve resources
- A clear plan for long-term sustainability following completion of the proposed project.

A detailed description of how the progress and achievements of the program will be monitored, measured and assessed must be included. If the proposed activity(s) will be carried out in conjunction with the South African Government, or in public facilities, evidence of the South African Government concurrence with the activity(s) should be provided. Invited full applications must be in English and **not exceed 25 pages** excluding attachments (e.g. résumés and the cost application) and use **Times New Roman 11 font size**. Applicants are cautioned that submitting superfluous material as attachments will detract from their application.

The following format should be followed in preparation of applications:

1. Table of Contents listing all page numbers and attachments (one page)
2. Executive Summary, including objective addressed and results to be achieved (one page)
3. Description of activities related to the objective of this APS describing:
  - Rationale/problem statement
  - Description of strategy and activities
  - Objectives and anticipated outcomes
  - On going activities to be scaled up, expanded or supplemented
  - Geographic focus areas and rationale
  - Impact on gender
  - Impact on beneficiaries
4. Project Management Approach (two or three pages)
  - Structure for managing implementation
  - Information on key personnel, including for each key person and a short description of experience and capacity relevant to the project description, an indication of level of effort each will be dedicating to the proposed activities and the roles and responsibilities of each
  - Proposed implementing partner (s) and relationships
5. Technical Approach
  - a. Objectives addressed and results to be achieved including:
    - Relation to the aim of this APS
    - Specific program results to be achieved by March 2006, in 12 months and in 24 months
  - b. Detailed Implementation Plan, describing the plan and methodology for implementation of each activity, including:
    - Timeframes and sequencing for implementing each activity
    - Outcome of each activity
    - Impact on gender



- Impact on most-at-risk groups and underserved communities
- Involvement of partners including roles and responsibilities
- Sustainability plan

c. Detailed monitoring and evaluation plan showing how:

- Outcomes will be measured
- Outcomes will contribute to results
- Baseline information will be collected
- Activities will be evaluated

Applications must be consistent with current policies and guidelines provided at <http://southafrica.usembassy.gov/wwwhids.html> and at links specified at that site.

6. Past Performance/Past Experience:

- Submit contact information of at least three (3) partners with whom applicants have worked in the past three (3) years in the implementation of a similar program.
- Reference information, including location, current telephone numbers, points of contact, award number if available, and a brief description of work performed.

7. Cost Application:

The financial plan and cost application should be provided as an attachment. This should detail all direct costs associated with the implementation and completion of activities, as well as any indirect costs and program costs such as those related to any sub-agreements and/or contracts. Indirect costs shall not be included for local NGOs. Local costs must be denominated in local currency. The US dollar equivalent must be indicated for all local costs. All cost share contributions must be reflected separately and clearly defined in the budget.

Attachments (annexes) should be lettered e.g. Attachment A, and can include the resumes of key personnel, letters of support, documentation of partnerships and alliances, letters from public entities, and other supporting documents.

## VII. EVALUATION CRITERIA

The following are the evaluation criteria against which all applications will be measured. A peer review committee of both US Government personnel and South African experts will participate in the final selection.

### A. PROJECT MANAGEMENT: 25 points

#### Staffing (15 Points)

- Stream lined cost effective staffing structure
- Adequate information on key personnel, including name, short description of experience and capacity relevant to proposed position to ensure rapid start-up and implementation success.
- Staffing pattern maximizes use of qualified, diversified (ethnically) South African staff

#### Management Plan (10 points)

- Clear management roles and responsibilities and a streamlined structure are provided, in order to promote efficiency and rapid start-up; an organizational chart summarizing these may be included as an attachment.

- Management arrangements make appropriate use of local partners to the maximum extent feasible. In the spirit of sustainability and the development of local capacity, expatriate involvement is limited to home office oversight and implementation is to be carried out by South African partner organization(s) with an emphasis on South African staff.
- Current financial management procedures and staff in place are knowledgeable about and experienced in managing donor funds.

## **B. TECHNICAL APPROACH: 40 points**

### **Overall Technical Approach (25 points)**

- Understanding is demonstrated of how activities directly contribute to the objective of this APS.
- Clear evidence is provided that proposed activities are appropriate for quick start and can produce rapid results.
- Evidence that the proposed activities are supportive and consistent with the South African Government's Operational Plan for Comprehensive HIV and AIDS Care, Management and Treatment and the Policy Framework for Orphans and Other Children made Vulnerable by HIV and AIDS.
- Demonstrated understanding of affected and infected HIV/AIDS population in South Africa.
- Where integrated projects are proposed, a comprehensive, interwoven approach is demonstrated.
- Demonstrate how the proposed activities will integrate and support disadvantaged gender groups and show how progress and impact will be tracked, measured and reported.

### **Implementation Plans (5 points)**

- Proposed first year Work Plan presented in matrix format, includes proposed activities for the time frame indicated, and identifies partners for activities, where appropriate. First year work plan, inputs and outputs are realistic and achievable within proposed budget and timeframe, and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities.
- Proposed two year implementation plan, inputs and outputs are realistic and achievable within the proposed budget and timeframe.
- Feasible strategies for sustaining activities beyond USG funding addressed.

### **Program Indicators (10 points)**

- Proposed monitoring and evaluation plan that includes clear and appropriate milestones and expected accomplishments, with measurable output and performance indicators.
- Plan specifies appropriate and feasible methods for data collection, tracking, verification, analysis and reporting, including attention to differential impacts by gender.

## **C. INSTITUTIONAL CAPACITY: 25 points**

- Demonstrated capacity to manage (technically, administratively and financially) a project of similar size, type and complexity and to deliver the required results.
- Demonstrated experience in activity implementation, developing, tracking and analyzing performance indicators and in managing performance indicator data to ensure audit-worthiness.

- Demonstrated experience in activity implementation, developing, tracking and analyzing performance indicators and in managing performance indicator data to ensure audit-worthiness.
- Application demonstrates clear understanding of OVC issues and HIV and AIDS issues affecting South Africa and demonstrates established contacts and links with South African communities and organizations that will facilitate immediate project implementation.
- Demonstrated experience in working collaboratively with diverse stakeholders from the governmental and non-governmental sectors

#### **D. COST EVALUATION     10 points**

- Cost effectiveness - The application demonstrates that proposed results will be achieved with the most efficient use of available resources.
- Cost realism – The application technical approach supports the costs proposed.

### **VIII. REPRESENTATIVE**

The U.S. Government would like to inform all prospective applicants that NO individual has been appointed as a representative to assist in the APS process and NO fee is required in submission of concept papers or applications. Prospective applicants are encouraged to respond to the APS following the guidelines provided.

### **IX. TARGETED APPLICATIONS**

The U.S. Government encourages participation from Faith Based Organizations and Public/Private Partnerships. Applicants whose applications focus on rural underserved populations are especially encouraged to submit concept papers. Applicants are encouraged to submit concept papers that support the initiatives and priorities of the Department of Social Development, the Department of Education, the Department of Health and/or Provincial Governments. Applicants are encouraged to submit letters of support from South African Government entities.

### **X. AWARD**

Final negotiations and award will be made by any one of the USG Agencies participating in this program.

### **XI. ADMINISTRATION OF AWARDS**

Awards may be administered by any one of the USG Agencies participating in this program. For USAID, awards to US-NGOs will be administered in accordance with 22 CFR226 and awards to non-US NGOs will be administered in accordance with applicable standard provisions. For CDC, awards will be administered in accordance with 45CFR74 and OMB Circulars.

### **XII. AUTHORITY**

This program is authorized in accordance with the Foreign Assistance Act of 1961 (as amended). United States Leadership against HIV/AIDS, Tuberculosis, and Malaria Act of 2003 (P.L. 108-25, May 27, 2003).